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4 October 1963

MEMORANDUM FOR: Mr. John S. Earman

Jack:

Pursuant to our conversation I thought that a brief summary of some of the things we have done in the DD/S for ourselves and for the Agency in the personnel security program might be helpful to you in the audit which you are conducting.

Attached at Tab A is a copy of Mr. Dulles' memorandum of 21 October 1960 to the Deputy Directors and the Inspector General. You will recall that this was prepared by the Director of Security for Mr. Dulles as an outgrowth of his concern following [redacted] 25X1
25X1 [redacted] DD/S in turn distributed copies of this memorandum to the entire Agency and, according to my records, after the contents were brought to the attention of all supervisors they were returned and destroyed. (As I recall, the Director did not want these circulating around freely for fear that we would be accused of acting like the Gestapo!)

On 29 August 1961 [redacted] Employee Conduct, 25X1
was issued and you will find in it also that we spelled out what we expect of all of our employees including supervisors. (Tab B)

25X1 [redacted] Promoting Good Employee Performance and Conduct, dated 16 April 1962, is designed to aid supervisors and others having responsibility for personnel management. It also cautions supervisors to be alert to problems of employees, including personal problems which may be affecting the individual's work performance or conduct, and, when indicated, render appropriate assistance or refer the employee to the appropriate Agency office for professional assistance." (Tab C)

25X1 [redacted] dated 30 August 1962, picks up in regulatory form some of the provisions of Mr. Dulles' 21 October 1960 memorandum, particularly the requirement on the part of employee, supervisor, and Operating Official that the supervisor know the whereabouts of employees at all times. (This was first issued as [redacted] dated 9 June 1961.) (Tab D) 25X1

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The "know your employee" theme has been the subject of discussion on many occasions at DD/S Staff Meetings. I am attaching excerpts from DD/S Staff Meeting minutes as Tab E.

I hope that this will be helpful to you.

[redacted] 25X1

L. K. White

5 Attachments

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DD/S 60-3215

SECRET

21 October 1960

MEMORANDUM FOR: Deputy Director (Plans)
Deputy Director (Intelligence)
Deputy Director (Support)
Inspector General

SUBJECT: Security of Employees

1. The recent defection to the Soviets [redacted] has led me to direct a thorough review of our own security practices despite the fact that we had no responsibility for the security procedures in this particular case. The damage to intelligence has been very real.

25X1

2. Incidents of this nature do not just happen. Either the defecting individual has been a long-time penetration or he has reached a crisis in his life which causes him to take such an irrevocable step. In either case there would be signs or clues which would indicate to an alert supervisor that a problem with the employee exists. In the latter case involving an apparently normal employee, the action would usually be the result of a long build-up of imagined or real resentments, dissatisfactions, or by an incident of wrong-doing which the employee feels may be discovered. There would be an element of emotional instability involved which would cause the employee to avoid facing the facts.

3. I wish to have it most forcefully impressed on every supervisor at every level that it is his responsibility to know his people and to be alert to detect and find solutions to their problems. If such problems cannot be handled in the normal administrative and supervisory process, the case should be made known to the Deputy Director concerned who should, in consultation with other appropriate officials such as the Inspector General, the Directors of Security and Personnel, and the Chief, Medical Staff, ensure that such problems are handled in such fashion as to minimize the risk to the Agency or undue harm to the career of the employee. Any situation where an employee is dissatisfied, antagonistic, shows indications of instability, or appears to be under some form of personal pressure should be carefully considered and reported. In most cases the employee simply needs advice and help. Early action in such cases can prevent the problem from reaching a crisis stage, whereas inattention and lack of action might permit the situation to develop to serious proportions resulting in harm to the career of the employee and to the Agency.

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S-E-C-R-E-T
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4. The unexplained absence or failure to report to duty by an employee is a matter of real concern and should be referred immediately to the Office of Security and the Office of Personnel, who shall keep the Inspector General appropriately informed. Each supervisor should take such measures as are feasible to keep advised of the whereabouts of his people at all times. More detailed guidance on this point should be worked out and coordinated by each of the Deputies, taking account of the particular problems each Deputy may have.

5. This memorandum should not be considered in any way as a reflection on the loyalty and integrity of Agency employees in whom I have every reason to have confidence. We must face the fact, however, that our employees do have personal problems and that the very nature of Intelligence sometimes prevents or deters the employee from seeking and obtaining normal advice on these problems. It is only by careful supervision that we can detect employees' problems and offer timely advice and assistance.

ILLEGIB 6. The Deputies are responsible for bringing this memorandum to the attention of all supervisors who will formally acknowledge familiarity with its contents.

ALLEN W. DULLES
Director

S-E-C-R-E-T
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Offenses Calling for Corrective Administrative Action

A. Misconduct On the Job

OFFENSE	EXPLANATION	REFERENCE
Insubordination	Refusal to obey legitimate orders, disrespect, insolence and like behavior toward official superiors.	
Absence Without Leave	Unauthorized absence from duty. Includes repeated tardiness or absence from the job without permission.	Regulation [redacted] 25X1
Disorderly Conduct	Unmannerly or socially unacceptable conduct which adversely affects production, discipline or morale.	
Gambling	Promotion of, or assisting in operation of organized gambling or participation in organized gambling during working hours.	GSA Regulations
Use of Intoxicants	Drinking intoxicants on duty or on Federal property. Reporting for duty or being on Federal property so under the influence of intoxicants as to be unable to properly perform assigned duties, or to be a hazard to self or others.	GSA Regulations
Narcotics	Unauthorized use of habit-forming drugs.	GSA Regulations

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OFFENSE	EXPLANATION	REFERENCE
Defamation	Knowingly making false or malicious statements, or unauthorized disclosures against other employees, supervisors, or officials with the intent to harm or destroy the reputation, authority, or official standing of those concerned.	
False Statements or Misrepresentation	Deliberate misrepresentation; fraud, falsification, exaggeration, or concealment of a material fact in connection with any official document, or withholding of material facts in connection with matters under official investigation.	
Fraud as to Government Transportation Requests *	Falsely making, or assisting in making counterfeiting, forging, in whole or in part, any form of transportation request. Knowingly altering or assisting in altering any such request. Knowingly passing, publishing, selling, or attempting to pass, publish, or sell any such false, forged, counterfeited, or altered form of request.	18 U.S.C. 508
False Certificates *	Giving certificate or other writing, containing any statement which is known to be false.	18 U.S.C. 1018
False Entries or Reports *	Following acts when performed by any person holding office or employment under the United States, and charged with the duty of keeping accounts or records of any kind: Making in any such account	18 U.S.C. 2073

* This is a statutory offense which may involve statutory penalties as well as corrective administrative action.

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OFFENSE	EXPLANATION	REFERENCE
	or record any false or fictitious entry, or aiding or abetting any such person in so doing, with intent to deceive or defraud the United States or any person. Following acts when performed by any person holding office or employment under the United States, and charged with the duty of receiving, holding or paying over moneys, to, for, or on behalf of the United States, or of receiving, or holding in trust for any person any moneys or securities: Making false report of any moneys or securities or aiding or abetting any such person in so doing, with intent to deceive or defraud the United States or any person.	
Failing to Make Returns or Reports *	Neglecting or refusing to make any return or report which any officer is required to make at stated times by any act of Congress or regulation of the Treasury Department, other than his accounts, within the time prescribed by such act or regulation.	18 U.S.C. 2075
Violation of Security Regulations	Includes violations relating to physical and personnel security, or other breaches of security. Excludes operational security matters.	HR [redacted] 25X1
Care and Use of Official Data *	Unauthorized gathering or transmitting, or losing defense information.	18 U.S.C. 793, 794 [redacted] 25X1
Abuse of Government Documents or Records *	Wilfully or unlawfully concealing, removing, mutilating, obliterating, or destroying records or documents. Attempting to conceal, remove, mutilate,	18 U.S.C. 2071

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OFFENSE	EXPLANATION	REFERENCE
	obliterate, or destroy records or documents; taking or carrying away records or documents, with intent to conceal, remove, mutilate, obliterate, destroy, or steal them.	
Taking and Carrying Away any Documents or Files *	Taking and carrying away, without authority, from place where filed or kept, any document or file, intended to be used or presented to procure payment of money from or by the United States; presenting, using, or attempting to use any such document or paper, in order to procure the payment of any money from or by the United States.	18 U.S.C. 285
Use of Confidential Information for Speculation *	The following act when performed by an officer or employee of the United States, or any department or agency thereof: Using confidential information, received by virtue of office or employment, in speculating directly or indirectly on any commodity exchange, or disclosing such information to aid any other person so to speculate (the term speculate, as used herein, does not include a legitimate hedging transaction, or purchase or sale which is accompanied by actual delivery of the commodity).	50 U.S.C. App. 2160(e)
Damage to, Loss of, Unauthorized Use or Willful Destruction of Government Property	In addition to corrective action Agency Regulations also provide for pecuniary liability under certain circumstances.	HR [redacted]

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OFFENSE	EXPLANATION	REFERENCE
Unauthorized Procurement Activities	Agency employees must consult with the Office of Logistics before initiating any contracts concerning proposed procurement activity with potential sources of supply, including business and other organizations, institutions, or persons outside the Agency. Unauthorized procurement activities may subject the employees involved to personal liability.	HR [redacted] 25X1
Misuse of Government Vehicles *	Using, or authorizing the use of, Government-owned or leased vehicles for other than official purposes.	5 U.S.C. 78(c)
Fraudulent Use of Official Envelopes *	Using official envelope, lable or endorsement authorized by law, to avoid payment of postage or registry fee on private letter, package, or other matter in the mail.	18 U.S.C. 1719
Theft *	Actual or attempted taking and carrying away Government property.	18 U.S.C. 641
False Claims *	Entering into any agreement, combination or conspiracy to defraud the Government of the United States or any department or officer thereof, or any corporation in which the United States is a stockholder, by obtaining or aiding to obtain the payment or allowance of any false or fraudulent claim. Presenting for payment or approval by any person or officer in civil,	18 U.S.C. 287, 1001 Regulation 30-100 Regulation 30-130

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OFFENSE	EXPLANATION	REFERENCE
	military, or naval service of the United States or any department thereof, any claim upon or against the United States knowing such claim to be false, fictitious, or fraudulent. Knowingly and willfully falsifying or concealing or covering a material fact by any trick, scheme, or device. Making false or fraudulent statements or representations. Making false bill, receipt, voucher, roll, account, claim, certificate, affidavit, or deposition, knowing same to contain any fraudulent or fictitious statement.	
Paying for Services from Appropriations not Containing Authorization therefor *	Paying any employee at the seat of Government from any appropriation made for contingent expenses, or for any specific or general purpose, unless authorized and payment therefor specifically provided.	5 U.S.C. 46, 47
Failing to Dispose Properly of Moneys Accruing from Lapsed Salaries or Unused Appropriations for Salaries *	Failing to return to the Treasury any moneys accruing from lapsed salaries or unused appropriations for salaries.	5 U.S.C. 50
Failing to Render Accounts *	Failing to render accounts as provided by law for public money received other than salary, pay, or emolument.	18 U.S.C. 643
Loaning, Using, Converting, or Depositing Public Moneys Except as Specially Allowed by Law *	The following acts when performed by person charged with safe-keeping of public moneys: Loaning, using, converting, or depositing public moneys entrusted to him, except as specially allowed by law.	18 U.S.C. 648

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OFFENSE	EXPLANATION	REFERENCE
Failing to Make Deposit When Required *	Failing to deposit with the Treasurer or some public depository money in possession or under control when required to do so by the Secretary of the Treasury or the head of any other proper department, or by General Accounting Office.	18 U.S.C. 649
Requiring Receipts for Larger Sums than Paid *	The following acts when performed by persons charged with payment of any appropriation made by Congress: Paying to any clerk or other employee of the United States a sum less than provided by law, and requiring such employee to give voucher for a greater amount than paid.	18 U.S.C. 652
Using Public Money Unlawfully *	Following acts when performed by any disbursing officer or person acting as such: Converting to own use, or loaning or depositing in any manner except as authorized by law, any public money entrusted to him; withdrawing such money from the Treasury or any authorized depository for any purpose not prescribed by law.	18 U.S.C. 653
Influencing Members of Congress through Use of Public Funds *	Using directly or indirectly, funds appropriated by Congress to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, to favor or oppose, by vote or otherwise, any legislation or appropriation by Congress.	18 U.S.C. 1913

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OFFENSE	EXPLANATION	REFERENCE
Bribes *	Asking, accepting, or receiving bribe of any kind with the intent of having one's decisions on any official matter influenced thereby.	18 U.S.C. 202
Canvassing, Soliciting, or Peddling on Agency Premises or during Working Hours	This prohibition applies specifically to such activities as soliciting contributions for a political purpose, personal monetary gain, or for purchasing a gift for anyone in a superior official position in contravention of law.	GSA Regulations
Gifts to Official Superiors *	Soliciting contributions from other Government officers or employees for a gift or present to those in a superior official position. Accepting gifts or presents offered or presented as a contribution from persons in Government employ receiving a lower salary. Making donation as a gift or present to official superior.	5 U.S.C. 113
Strikes Against the Government of the United States, or Asserting the Right to Strike against the Government *	Participating in any strike against the Government of the United States or asserting the right to strike against the Government or holding membership in an organization of Government employees that asserts the right to strike against the Government.	5 U.S.C. 118
Violation of Safety Practices and Regulations	Failure to observe safety practices and regulations thereby endangering the safety of persons or property. This may occur in conjunction with other offenses listed in this table.	HR [redacted] 25X1

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B. Misconduct Off-the-Job

OFFENSE	EXPLANATION	REFERENCE
Misconduct Off Duty	Misconduct which adversely affects the reputation of the employee, or reflects unfavorably on the Agency; includes conviction for felonies, may include arrest or indictment for felonies and may also include arrest, indictment or conviction for misdemeanors.	
Unauthorized Outside Activities	Outside activities on which limitations may be imposed include but are not limited to: speaking and writing activities, teaching, outside employment, joining certain types of organizations, private foreign travel, sponsoring the entry of aliens into the United States, and participating in court proceedings which may affect the Agency.	HR [redacted] 25X1
Failure to Honor Valid Debts or Legal Obligations	In determining whether an offense has occurred, consideration will be given to extenuating circumstances.	

C. Special Provisions

OFFENSE	EXPLANATION	REFERENCE
Claims Against U.S. *	Aiding and assisting in prosecution of claim against the United States, or receiving any gratuity or any share of or interest in claim from any claimant otherwise than in discharge of proper official duties.	18 U.S.C. 283

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OFFENSE	EXPLANATION	REFERENCE
Compensation to Members of Congress, Officials and Others in Matters Affecting the Government *	Officers and agents of the United States are forbidden the following act: Directly or indirectly receiving or agreeing to receive any compensation for services rendered in connection with any government contract, claim, or other matter in which the United States is interested.	18 U.S.C. 281
Disqualification of Former Officers and Employees in Matters Connected with Former Duties *	It shall be unlawful for whoever, having been employed in any agency of the United States, including commissioned officers assigned to duty in such agency, within 2 years after the time when such employment or service has ceased, to prosecute or act as counsel, attorney, or agent for prosecuting, any claims against the United States involving any subject matter directly connected with which such person was so employed or performed duty.	18 U.S.C. 284 5 U.S.C. 99
Procurement of Contract by Officer or Member of Congress *	The following act when performed by an officer of the United States: Directly or indirectly receiving money or anything of value in return for obtaining or giving a government contract or rendering assistance in that connection.	18 U.S.C. 216
Interested Persons Acting as Government Agents *	Acting as a Government officer or agent for the transaction of business with a corporation or organization in which the agent is financially interested.	18 U.S.C. 434

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OFFENSE	EXPLANATION	REFERENCE
Receiving Salary from Source other than the United States Government *	Receiving any salary in connection with services as a Government official or employee from any source other than the Government of the United States, except as may be contributed out of the treasury of any State, county, or municipality (there are some statutory exemptions from this prohibition in the case of certain employees of specific departments).	18 U.S.C. 1914 (Formerly 5 U.S.C. 66)
Release of Certain Agency Information to Public Information Media	Includes any classified matter having to do with the Agency, with its activities or with Agency-derived information in circumstances which might lead to publication in media of public information.	HR [redacted] 25X1
Accepting Foreign Awards and Decorations	Pertains to any United States citizen employed by this Agency who is tendered a present, decoration, or other thing, by a foreign government or representative thereof.	Regulation [redacted] 25X1
Acceptance of Gifts by Employees	Includes gifts, money, or other materials of monetary value from any individual or group of individuals engaged in any aspect of contractual relations with the Agency or where there is any indication or reasonable inference that the employee has been tendered the gift because of his official position.	Regulation [redacted] 25X1

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MINUTES OF

DD/S STAFF MEETING

E-X-T-R-A-C-T

28 June 1961

"WHEREABOUTS OF AGENCY PERSONNEL

"Colonel White emphasized the need of supervisors knowing at all times where their people are. This would include vacation periods as well as more routine leave, and he urged that suitable reminders be passed along to supervisors."

25 April 1962

"RESPONSIBILITY OF SUPERVISORS

"Colonel White directed the attention of those present to a memorandum addressed by Mr. Dulles to the Deputies and the Inspector General on 21 October 1960 on the subject of security of employees. Copies of this memorandum will be made available to Office Heads and Staff Chiefs and Colonel White emphasized the importance of ensuring that supervisors assume total responsibility for their people which includes a knowledge of their activities, interests, and associations in their private as well as their official capacities."

25 September 1963

"Colonel White said that he wanted to emphasize again the importance of having supervisors know their people as well as they possibly can, including how they live and what their private personal interests are, in order that the supervisor may be better equipped to guard indiscretions or potential security problems. He suggested that a memorandum written by Mr. Dulles in October 1960 addressed to the Deputies dealing with the subject of supervisory responsibility be resurrected and brought to the attention of all supervisors."

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